

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Shields, Lawrence P. et al. CONFIRMATION NO.: 6203  
SERIAL NO.: 10/003,613 GROUP NO.: 3693  
FILING DATE: November 2, 2001 EXAMINER: Chandler, Sara M.  
TITLE: SYSTEM AND METHOD FOR IMPLEMENTING  
EMPLOYEE STOCK PLANS

Commissioner for Patents  
P.O. Box 1450  
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**RESPONSE TO INTERVIEW SUMMARY  
AND  
REQUEST FOR CONSIDERATION OF INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 C.F.R. § 1.97(c)**

Sir:

Pursuant to M.P.E.P. § 713.04, Applicants hereby make the following statement describing the substance of a telephonic interview that occurred on October 10, 2008 in the above-identified application. Examiner Sara Chandler, Examiner Jagdish Patel and the undersigned participated in the interview. No exhibits or demonstrations were presented.

During the interview, proposed amendments to claims 63-64 in view of U.S. Patent 6,269,346 (Cristofich) and cancellation of claim 65 were discussed. The proposed amendments were intended to clarify the scope and meaning of certain terms, namely *employee stock plan*, *limited brokerage accounts*, and *one or more transactions in connection with the employee stock plan*. Specifically, the proposed amendment to the term *employee stock plan* clarified that such a plan is “limited to the acquisition of and trading in one or more employer-issued stock and options on employer-issued stock.” The proposed amendment to the term *limited brokerage accounts* clarified that such accounts are “funded with one or more of employer-issued stock and options on employer-issued stock.” The proposed amendment to the term *one or more transactions* clarified that such transactions comprise “one or more trades involving employer-issued stock and exercising of options on the employer-issued stock.”

Examiners Chandler and Patel indicated that such amendments were acceptable and requested authorization to enter the proposed amendments by way of Examiner Amendment. Authorization was given to Examiner Chandler on same day.

Pursuant to 37 C.F.R. §1.97(c), Applicants respectfully request consideration of the Supplemental Information Disclosure Statement (IDS) that was electronically filed with the United States Patent and Trademark Office on November 12, 2008. The Supplement IDS, which was accompanied with authorization to charge the fee set forth in 37 C.F.R. §1.17(p), was filed before the mailing date of the Notice of Allowance (November 19, 2008).

Respectfully submitted,



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